

J1011 U.S. PTO
09/975417
10/16/01


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent application
of Paul Swift Inventor(s)
for BICYCLE PEDAL THAT CAN FIT A MULTIPLICITY OF SHOE CLEATS
Title of invention

the specification of which is being transmitted herewith

OR

In re application of:

Serial No.: 0 / (to be assigned) Group No.:
Filed: Examiner:
For:

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10

I hereby certify that, on the date shown below, this correspondence is being:

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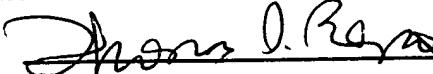
37 C.F.R. 1.8(a)

37 C.F.R. 1.10

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Signature

Date: 10-10-01

Thomas I. Rozsa, Esq.

(type or print name of person certifying)

(Information Disclosure Statement [6-1]—page 1 of 4)

NOTE: "An information disclosure statement shall be considered by the Office if filed by the applicant:

- (1) Within three months of the filing date of a national application;
- (2) Within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; or
- (3) Before the mailing date of a first Office action on the merits, whichever event occurs last."

37 C.F.R. 1.97(b).

NOTE: "Each individual associated with the filing and prosecution of a patent application has a duty of candor and good faith in dealing with the Office, which includes a duty to disclose to the Office all information known to that individual to be material to patentability as defined in this section." 37 C.F.R. 1.56(a).

"Individuals associated with the filing or prosecution of a patent application within the meaning of this section are:

- (1) each inventor named in the application;
- (2) each attorney or agent who prepares or prosecutes the application; and
- (3) every other person who is substantively involved in the preparation or prosecution of the application and who is associated with the inventor, with the assignee or with anyone to whom there is an obligation to assign the application." 37 C.F.R. 1.56(c).

NOTE: The "duty as described in § 1.56 will be met so long as the information in question was cited by the Office or submitted to the Office in the manner prescribed by §§ 1.97(b) - (d) and 1.98 before issuance of the patent." Notice of January 9, 1992, 1135 O.G. 13-25 at 17.

WARNING: "No information disclosure statement may be filed in a provisional application." 37 C.F.R. § 1.51(b).

List of Sections Forming Part of This Information Disclosure Statement

The following sections are being submitted for this Information Disclosure Statement:

(check sections forming a part of this statement: discard unused sections and number pages consecutively)

1. Preliminary Statements
2. FORM PTO-1449 (PTO/SB/08A and 086)
3. Statement as to Information Not Found in Patents or Publications
4. Identification of Prior Application in Which Listed Information Was Already Cited and for Which No Copies Are Submitted or Need Be Submitted
5. Cumulative Patents or Publications
6. Copies of Listed Information Items Accompanying This Statement
7. Concise Explanation of Non-English Language Listed Information Items
 - 7A. EPO Search Report
 - 7B. English Language Version of EPO Search Report
8. Translation(s) of Non-English Language Documents
9. Concise Explanation of English Language Listed Information Items (Optional)
10. Identification of Person(s) Making This Information Disclosure Statement

(complete the following, if appropriate)

Sections 1, 10, respectively, have been continued on ADDED PAGE(S).

NOTE: "Once the minimum requirements are met, the examiner has an obligation to consider the information." Notice of April 20, 1992 (1138 O.G. 37-41, 37).

1 **IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

2 Docket No: 34580.001CC

J1011 U.S. PRO
09/975417
10/10/01

3 IN THE APPLICATION OF THE CONTINUATION-IN-PART OF CO-PENDING
4
APPLICATION SERIAL NO. 09/360,561 FILED ON 05/26/1999:

5 Inventor: Paul Swift

6 For: BICYCLE PEDAL THAT CAN FIT A MULTIPLICITY
7
OF SHOE CLEATS

8 Attorney: Thomas I. Rozsa

9 Registration No: 29,210

10 Telephone: (818) 783-0990

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13 **INFORMATION DISCLOSURE STATEMENT--37 CFR 1.97(b)**

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15 Assistant Commissioner for Patents

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17 Washington, D.C. 20231

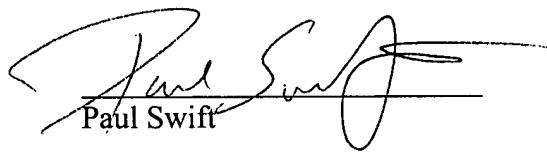
18 Sir:

19
20 Comes now the applicant, Paul Swift, and pursuant to the guidelines promulgated
21 by the Patent and Trademark Office published in Section 609 of MPEP and pursuant to
22 37 CFR 1.97(b), states that he did not perform a prior art search prior to filing the patent
23 application on the parent case, Application Serial No. 09/360,561 and has not

1 performed any subsequent prior art search to locate any additional prior art.

2 Respectfully submitted,

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4 Dated: Oct. 5, 2001

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